

# Unit 3:

## Delegation of Authority & Management by Objectives



FEMA



# Unit Objectives

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- Describe the delegation of authority process.
- Describe scope of authority.
- Describe management by objectives.
- Describe the importance of preparedness plans and agreements.



# Authority

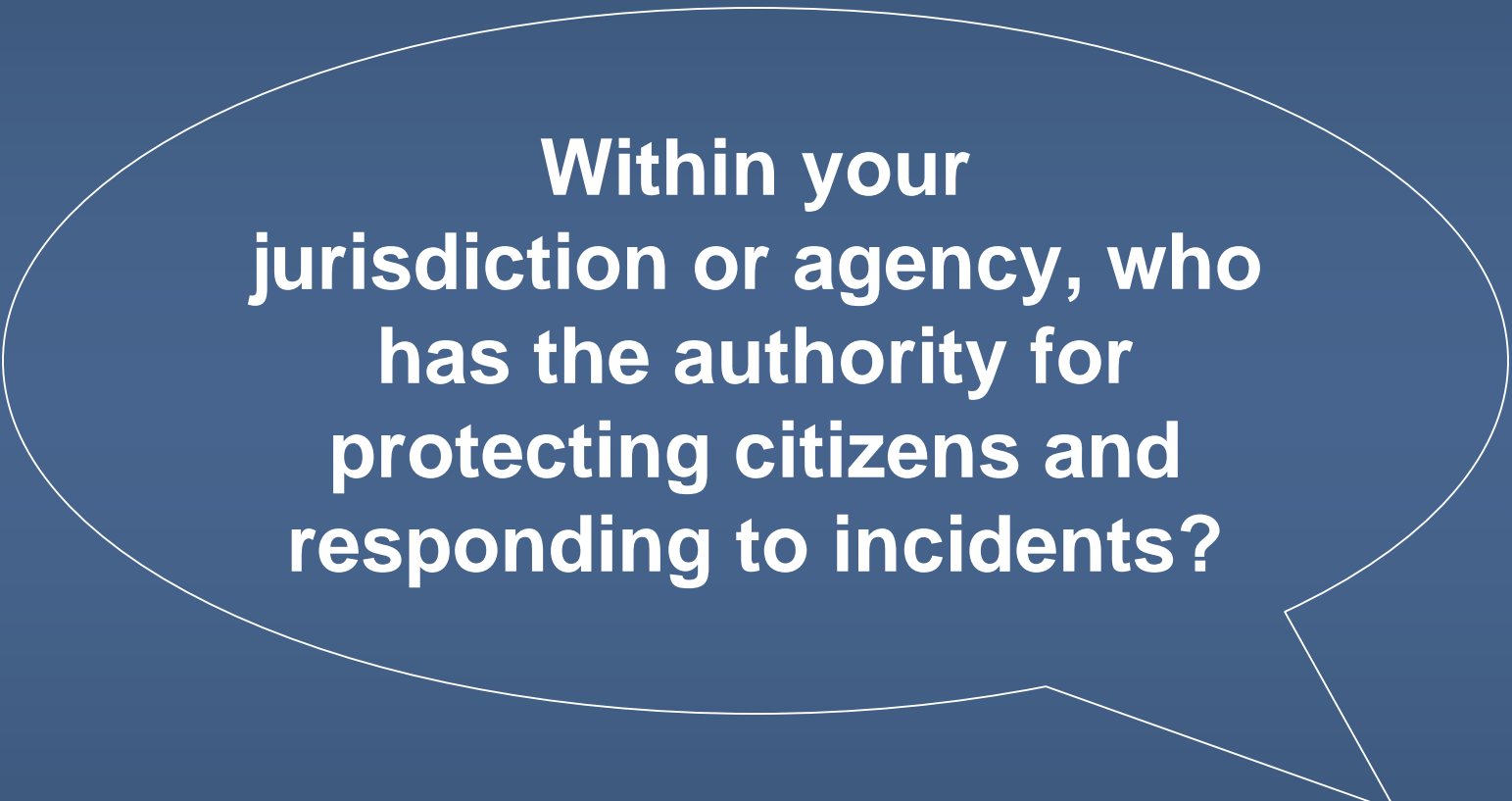
**Authority** is . . .

. . . a right or obligation to act on behalf of a department, agency, or jurisdiction.



# Who's Responsible?

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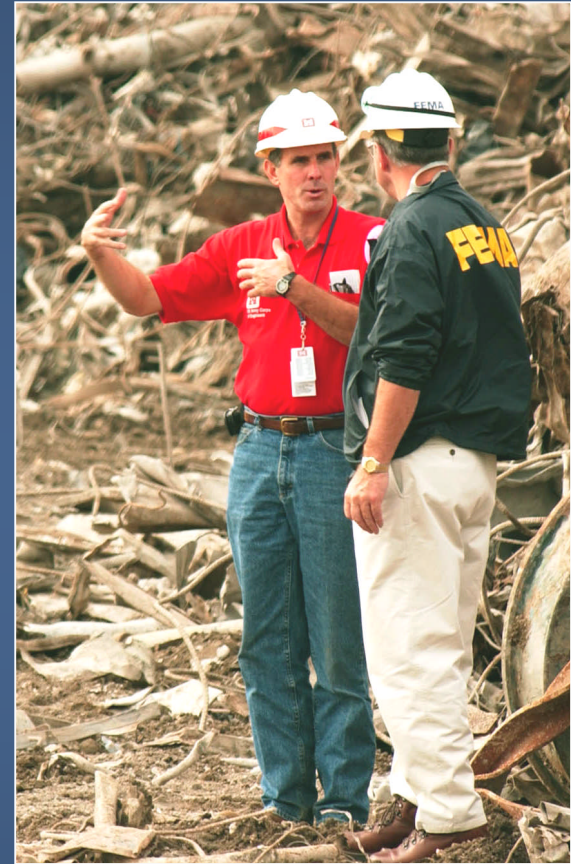


**Within your  
jurisdiction or agency, who  
has the authority for  
protecting citizens and  
responding to incidents?**

# Scope of Authority

**An Incident Commander's scope of authority is derived:**

- **From existing laws and agency policies and procedures, and/or**
- **Through a delegation of authority from the agency administrator or elected official.**





# Delegation of Authority

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- Grants authority to carry out specific functions.
- Issued by chief elected official, chief executive officer, or agency administrator in writing or verbally.
- Allows the Incident Commander to assume command.
- Does NOT relieve the granting authority of the ultimate responsibility for the incident.



Mayor



Incident  
Commander

# Delegation of Authority: When Not Needed

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**A delegation of authority may not be required if the Incident Commander is acting within his or her existing authorities.**



**An emergency manager may already have the authority to deploy response resources to a small flash flood.**



**A fire chief probably has the authority (as part of the job description) to serve as an Incident Commander at a structure fire.**

# Delegation of Authority: When Needed

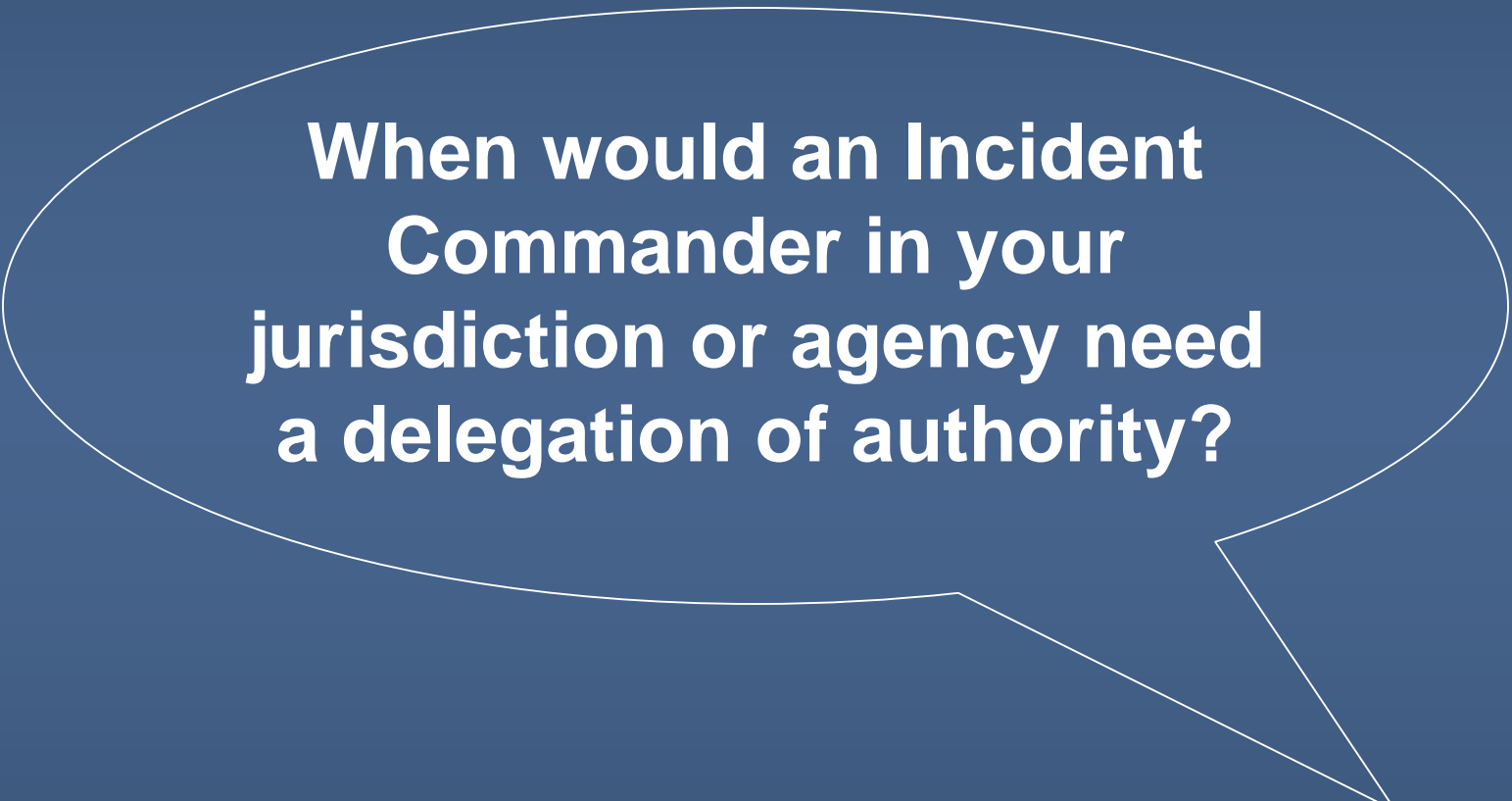
- If the incident is outside the Incident Commander's home jurisdiction.
- When the incident scope is complex or beyond existing authorities.
- If required by law or procedures.





# Discussion Question

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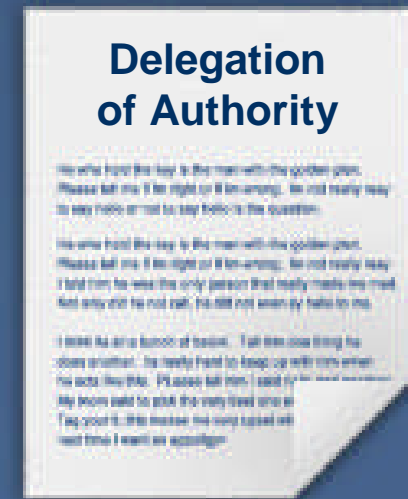


**When would an Incident Commander in your jurisdiction or agency need a delegation of authority?**

# Delegation of Authority: Elements

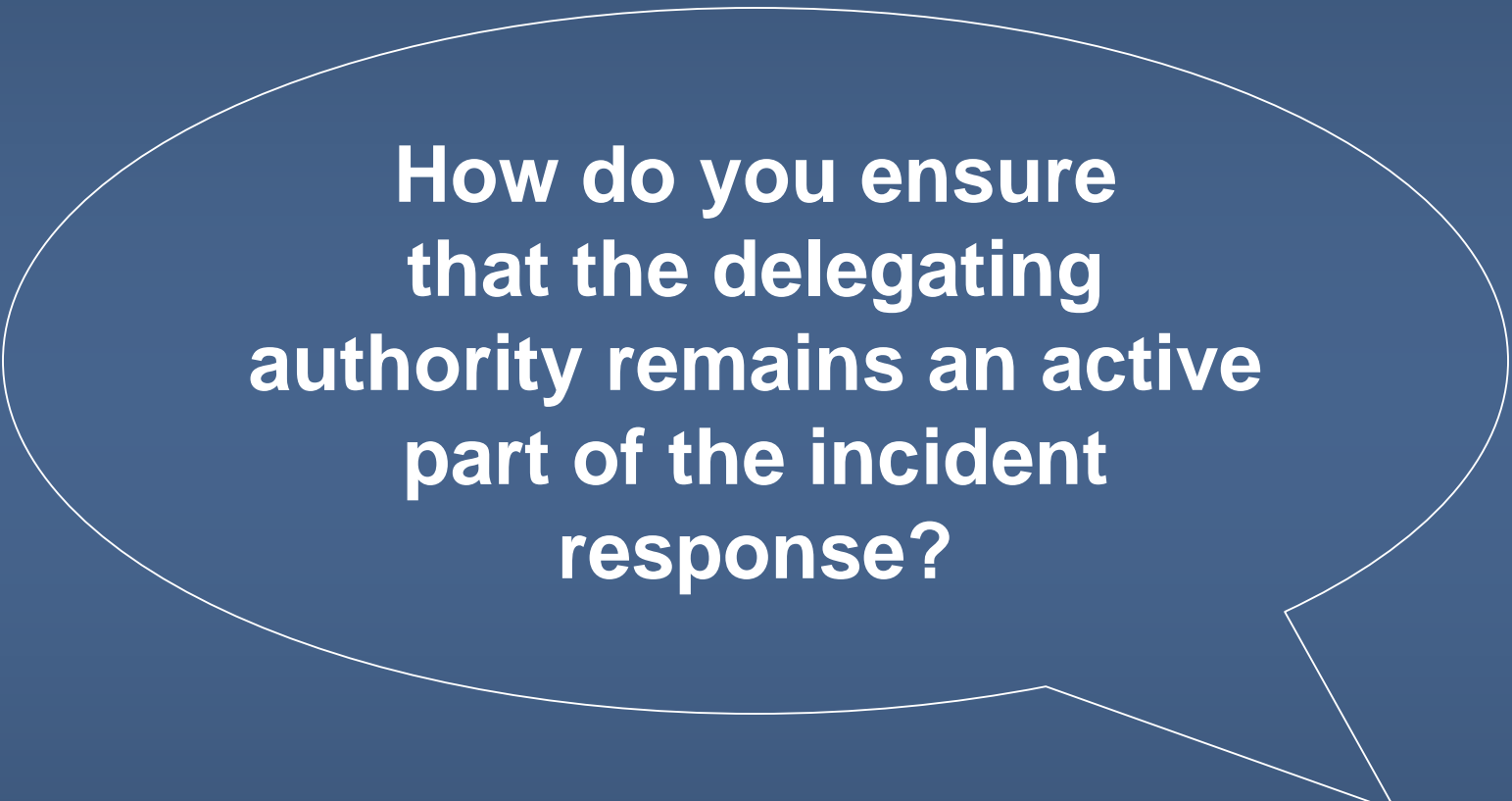
## Should include:

- Legal authorities and restrictions.
- Financial authorities and restrictions.
- Reporting requirements.
- Demographic issues.
- Political implications.
- Agency or jurisdictional priorities.
- Plan for public information management.
- Process for communications.
- Plan for ongoing incident evaluation.



# Discussion Question

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**How do you ensure  
that the delegating  
authority remains an active  
part of the incident  
response?**

# Implementing Authorities

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Within his or her scope of authority, the Incident Commander establishes incident objectives, then determines strategies, resources, and ICS structure.





# Management by Objectives

- ICS is managed by objectives.
- Objectives are communicated throughout the entire ICS organization through the incident planning process.



# Establishing and Implementing Objectives

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The steps for establishing and implementing incident objectives include:

- Step 1: Understand agency policy and direction.
- Step 2: Assess incident situation.
- Step 3: Establish incident objectives.
- Step 4: Select appropriate strategy or strategies to achieve objectives.
- Step 5: Perform tactical direction.
- Step 6: Provide necessary followup.

# Initial Response: Size-Up

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The first responder to arrive must assume command and size up the situation by determining:

- The nature and magnitude of the incident.
- Hazards and safety concerns:
  - Hazards facing response personnel and the public
  - Evacuation and warnings
  - Injuries and casualties
  - Need to secure and isolate the area
- Initial priorities and immediate resource requirements.
- The location of the Incident Command Post and Staging Area.
- Entrance and exit routes for responders.

# Overall Priorities

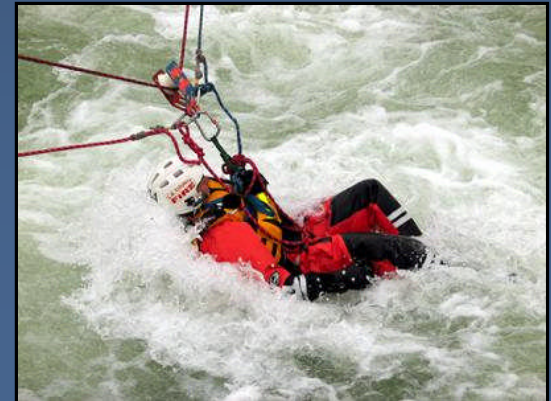
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Incident objectives are established based on the following priorities:

**#1:** Life Saving

**#2:** Incident Stabilization

**#3:** Property Preservation





# **Effective Incident Objectives**

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**Effective incident objectives must be . . .**

- **Specific and state what's to be accomplished.**
- **Measurable and include a standard and timeframe.**
- **Attainable and reasonable.**
- **In accordance with the Incident Commander's authorities.**
- **Evaluated to determine effectiveness of strategies and tactics.**

# Sample Incident Objectives

Incident: At noon a sudden, severe windstorm strikes the city, uprooting trees and trapping several commuters in their vehicles. Power is out to half of the city. Traffic is gridlocked. The storm has passed as quickly as it began.

## Incident Objectives:

- Identify life-safety priorities and initial resource needs.
- Begin rescue operations before 12:45.
- **What other objectives would you add?**

# Objectives, Strategies, and Tactics

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## **Incident Objectives**



**State what will be accomplished.**

## **Strategies**



**Establish the general plan or direction for accomplishing the incident objectives.**

## **Tactics**

**Specify how the strategies will be executed.**

# Elements of an Incident Action Plan

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An IAP covers an operational period and includes:

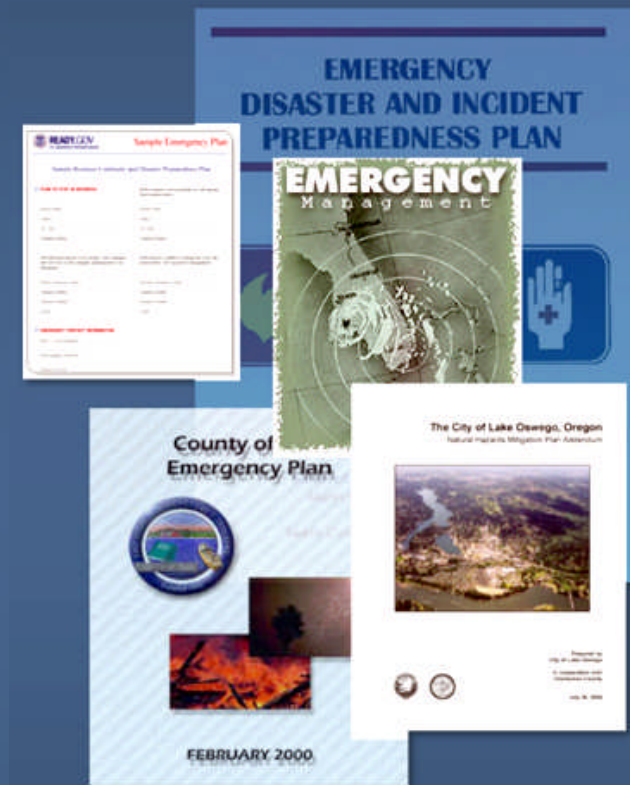
- What must be done.
- Who is responsible.
- How information will be communicated.
- What should be done if someone is injured.





# Preparedness Plans and Agreements

The Incident Commander, as well as the Command and General Staffs, should have a working knowledge of jurisdictional and agency preparedness plans and agreements.



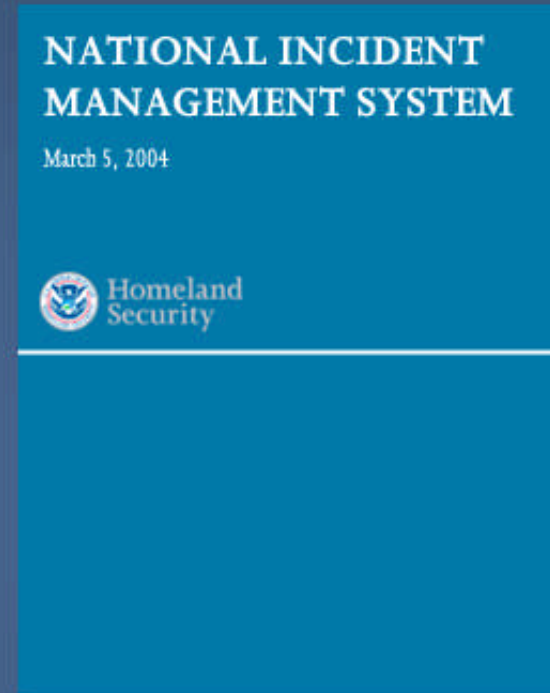
# **Preparedness Plans**

**The most common preparedness plans are:**

- **Federal, State, or local Emergency Operations Plans (EOPs).**
- **Standard operating guidelines (SOGs).**
- **Standard operating procedures (SOPs).**
- **Jurisdictional or agency policies.**

# Emergency Operations Plans (EOPs)

- EOPs are developed at the Federal, State, and local levels to provide a uniform response to all hazards.
- EOPs written after October 2005 must be consistent with NIMS.

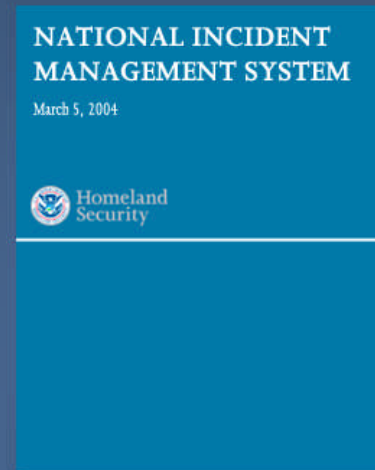


# Mutual-Aid Agreements (1 of 2)

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**NIMS states that:**

- **Mutual-aid agreements are the means for one jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident.**
- **Each jurisdiction should be party to a mutual-aid agreement with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident.**





# Mutual-Aid Agreements (2 of 2)

- Mutual aid is the voluntary provision of resources by agencies or organizations to assist each other when existing resources are inadequate.
- When combined with NIMS-oriented resource management, mutual aid allows jurisdictions to share resources among mutual-aid partners.



# Mutual-Aid Agreements: All Levels

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- **Federal** agencies offer mutual aid to each other and to States, tribes, and territories under the NRP.
- **States** can participate in mutual aid through the Emergency Management Assistance Compact (EMAC).
- **Local** jurisdictions participate in mutual aid through agreements with neighboring jurisdictions.

# **Information Derived From Plans**

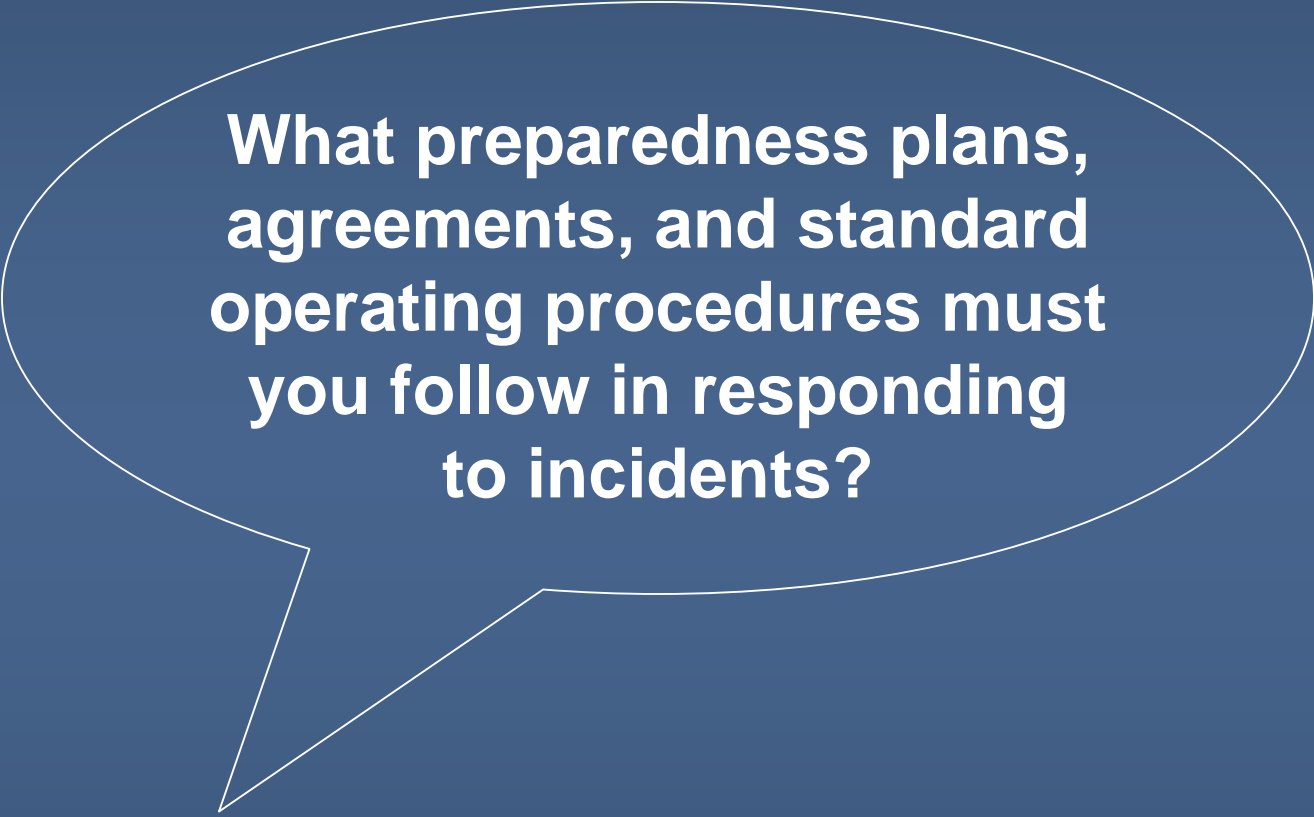
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**Plans may include information about:**

- **Hazards and risks in the area.**
- **Resources in the area.**
- **Other formal agreements and plans.**
- **Contact information for agency administrators and response personnel.**
- **Other pertinent information.**

# Discussion Question

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**What preparedness plans, agreements, and standard operating procedures must you follow in responding to incidents?**

# Activity: Developing Incident Objectives

## Instructions:

1. Working as a team, review the scenario, scenario map, and resource list in your Student Manuals.
2. Develop incident objectives for the next 12 hours.
3. Next, identify your general strategy for accomplishing these objectives.
4. Select a spokesperson and be prepared to present your work in 30 minutes.

# Summary

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Are you now able to:

- Describe the delegation of authority process?
- Describe scope of authority?
- Describe management by objectives?
- Describe the importance of preparedness plans and agreements?

